


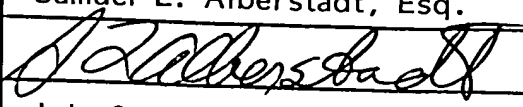
Please type a plus sign (+) inside this box → ☒

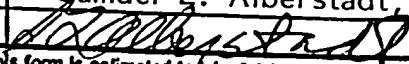
PTO/SB/21 (6-98)  
Approved for use through 09/30/2000. OMB 0651-0031  
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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	09/746,746	
	Filing Date	December 22, 2001	
	First Named Inventor	Stephen D. Ainsworth	
	Group Art Unit	Unassigned	
	Examiner Name	Unassigned	
Total Number of Pages in This Submission	17 <sup>1/2</sup>	Attorney Docket Number	ACS 54804

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Postcard
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

  
**24201**  
PATENT TRADEMARK OFFICE

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	FULWIDER PATTON LEE & UTECHT, LLP Samuel L. Alberstadt, Esq.
Signature	
Date	July 24, 2001

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 07/24/01			
Typed or printed name	Samuel L. Alberstadt, Esq.		
Signature		Date	July 24, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 2040

## Complete if Known

Application Number 09/746,746  
Filing Date July 24, 2001  
First Named Inventor Stephen D. Ainsworth  
Examiner Name Unassigned  
Group Art Unit Unassigned  
Attorney Docket No. ACS 54804

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 06-2425  
Deposit Account Name FULWIDER PATTON...

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	710
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$ ) 710

### 2. EXTRA CLAIM FEES

Total Claims 35 -20\*\* = 15 X Fee from below 18 = 270  
Independent Claims 3 -3\*\* = 0 X Fee from below 0 = 0  
Multiple Dependent Claims 0 X Fee from below 0 = 0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 80	202 40	Independent claims in excess of 3	
104 270	204 135	Multiple dependent claim, if not paid	
109 80	209 40	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ ) 270

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	890
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	
Other fee (specify) Large entity surcharge			130

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 1060

## SUBMITTED BY

Name (Print/Type)	Samuel L. Alberstadt	Registration No. (Attorney/Agent)	32,766	Telephone	(310) 824-5555
Signature		Date	July 24, 2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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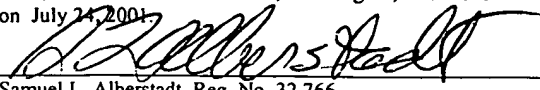
Please acknowledge receipt of the TRANSMITTAL FORM; FEE TRANSMITTAL; SUBMISSION OF MISSING PARTS OF APPLICATION; NOTICE TO FILE MISSING PARTS; REQUEST FOR EXTENSION OF TIME; DECLARATION AND POWER OF ATTORNEY (in counterpart); RECORDATION FORM COVER SHEET (Form PTO-1595); ASSIGNMENT (in counterpart); and our checks in the amount of \$1,110 for the filing fee and surcharge, \$890 for the extension of time fee and \$40 for the Assignment recordation fee; by affixing hereon the Patent Office date stamp and returning this card to our office. In re application of:

Inventors: Stephen D. Ainsworth, E Tina Cheng  
Serial No. 09/746,746  
Entitled: INTRAVASCULAR STENT  
Filed: December 22, 2000  
Date Due: July 26, 2001  
Mailed: July 24, 2001  
Docket: ACS 54804 (23751)  
JSN:jeb



CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with, sufficient postage as First Class Mail in an envelope addressed to Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231 on July 24, 2001.

  
Samuel L. Alberstadt, Reg. No. 32,766

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of	) Examiner: Unassigned
	)
Inventors: Ainsworth et al.	) Group Art Unit: Unassigned
	)
Serial No. 09/746,746	) Docket No. ACS 54804 (23571)
	)
Filed: December 22, 2000	)
	)
For: INTRAVASCULAR STENT	) July 24, 2001

SUBMISSION OF MISSING PARTS OF APPLICATION

Box MISSING PARTS  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application, mailed February 26, 2001 (copy attached), Applicants submit herewith a copy of the Declaration and Power of Attorney for the above-identified application together with our check in the amount of \$1,110 which includes \$710 for the filing fee, \$130 for the large entity surcharge and \$270 for the additional claim fee. A Request for a three-month extension of time is being concurrently herewith and a check in the amount of \$890 is also enclosed for the extension fee.

Please credit any overpayment or charge any additional fees in this matter to our  
Deposit Account No. 06-2425. A duplicate of this paper is enclosed.

Respectfully submitted,

FULWIDER PATTON LEE & UTECHT, LLP

A handwritten signature in black ink, appearing to read 'S. Alberstadt', written over a horizontal line.

Samuel L. Alberstadt  
Reg. No. 32,766

SLA:jeb  
Enclosures

6060 Center Drive, Tenth Floor  
Los Angeles, California 90045  
Telephone: (310) 824-5555



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/746,746	12/22/2000	Stephen D. Ainsworth	ACS 54804 (23571)

CONFIRMATION NO. 6882

## FORMALITIES LETTER



\*OC00000005797130\*

FULWIDER PATTON LEE & UTECHT, LLP  
Attorneys at Law  
Howard Hughes Center  
6060 Center Drive, Tenth Floor  
Los Angeles, CA 90045

Date Mailed: 02/26/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

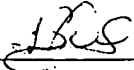
*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$270.
  - \$270 for 15 total claims over 20.
- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1110.

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*A copy of this notice **MUST** be returned with the reply.*

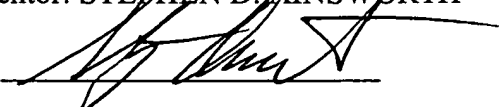
  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY

Address all correspondence to:

FULWIDER PATTON LEE & UTECHT, LLP  
Howard Hughes Center  
6060 Center Drive  
Tenth Floor  
Los Angeles, California 90045

Full name of first inventor: STEPHEN D. AINSWORTH

Inventor's signature: 

Date: July 20, 2001

Residence: Los Gatos, California

Citizenship: United States of America

Post Office Address: 164 Villa Avenue  
Los Gatos, California 95030

Full name of first inventor: E TINA CHENG

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_, 2001

Residence: Union City, California

Citizenship: United States of America

Post Office Address: 2430 Balmoral Street  
Union City, California 94587

RECORDATION FORM COVER SHEET  
PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

STEPHEN D. AINSWORTH  
E TINA CHENG

Additional name(s) of conveying party(ies) attached? NO

2. Name and address of receiving party(ies):

Name: Advanced Cardiovascular Systems, Inc.

Internal Address: \_\_\_\_\_

Street Address: 3200 Lakeside Drive

City Santa Clara State CA ZIP 95054-2807

Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of Conveyance:

☒ Assignment ☐ Merger

☐ Security Agreement ☐ Change of Name

☐ Other \_\_\_\_\_

Execution Date: July 19, 2001; July 20, 2001

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

09/746,746

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: FULWIDER PATTON LEE & UTECHT, LLP

Internal Address: Howard Hughes Center, Tenth Floor

Street Address: 6060 Center Drive

City: Los Angeles State: CA Zip: 90045

6. Total number of applications and patents involved: One (1)

7. Total fee (37 CFR 3.41):..\$ 40.00

☒ Enclosed

☒ Any deficiency/overpayment is authorized to be charged to deposit account

8. Deposit account number: 06-2425

DO NOT USE THIS SPACE

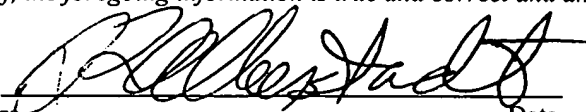
9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

SAMUEL L. ALBERSTADT

Name of Person Signing

Signature



Date

July 24, 2001

Total number of pages including cover sheet, attachments and document: 5



## ASSIGNMENT

This Assignment, effective as of December 22, 2000 made by Stephen D. Ainsworth of Los Gatos, California and E Tina Cheng of Union City, California, Assignors, to ADVANCED CARDIOVASCULAR SYSTEMS, INC., a California corporation, Assignee, having a place of business at 3200 Lakeside Drive, Santa Clara, California 95054-2807.

WHEREAS, Assignors have invented a new and useful INTRAVASCULAR STENT, for which an application for United States Letters Patent was filed on December 22, 2000 and has Serial No. 09/746,746, and

WHEREAS, Assignors believe they are the original and first inventors of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, Assignee desires to acquire by formal, recordable assignment the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor hereby sells, assigns and transfers to Assignee, the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Further, Assignors agree that, upon request and without further compensation, but at no expense to Assignors, their legal representative(s) and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

Assignors represent and warrant that they have not granted and will not grant to others any rights inconsistent with the rights granted herein.

Assignors authorize and request the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for said invention, whether on said application or on any subsequently filed division, continuation, continuation-in-part or reissue application, to Assignee, its successors and assigns, as the assignee of the entire interest in said invention.

IN WITNESS WHEREOF, Assignors have executed this Assignment on the date written hereinbelow.

Assignors:

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
STEPHEN D. AINSWORTH

Date: July 18, 2001

  
\_\_\_\_\_  
E TINA CHENG

FULWIDER PATTON LEE & UTECHT, LLP

072737

DATE	INVOICE NO. OR REFERENCE	AMOUNT		BALANCE
7-24-01	ACS 54804	890.00	1231	
TOTALS		890.00		

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ATTORNEYS AT LAW  
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DATE  
7-24-01

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Business Bank

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072736

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7-24-01	ACS 54804	40.00	1231	
<b>TOTALS</b> ➡		40.00		

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LOS ANGELES, CA 90045

DATE 7-24-01

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072738

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DATE	INVOICE NO. OR REFERENCE	AMOUNT		BALANCE
-24-01	ACS 54804	1,110.00	1231	
<b>TOTALS</b> ➡		1,110.00		

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 LOS ANGELES, CA 90045

DATE

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The Patent and Trademark Office is respectfully requested to place its STAMP on this postcard and place it in the outgoing mail, acknowledging receipt of the following: Petition Under 37 CFR § 1.10(e) for Application Filing Date; Declaration of Jane E. Barnett; Copies of the following documents: Acknowledgment postcard; two pages of Form PTO-1082; Request and Certification under 35 U.S.C. § 122(b)(2)(B)(i); 26 page Patent Application of Ainsworth, et al.; seven sheets of drawings, postcard; and check in the amount of \$130.00

Inventors:	Stephen D. Ainsworth, E Tina Cheng
Entitled:	INTRAVASCULAR STENT
Express Mail No.	EL 737699338 US
Mailed:	June 4, 2001
Docket:	ACS 54804 (23751)
JSN:jeb:kld	

